UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
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EXAMINER
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ART UNIT	PAPER NUMBER
2143	

DATE MAILED: 10/21/2004

Please find below and/or attached an Office communication concerning this application or proceeding.

PTO-90C (Rev. 10/03)

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE _3_ MONTH(S) FROM
THE MAILING DATE OF THIS COMMUNICATION.
- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed
  after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
  Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any
  earned patent term adjustment. See 37 CFR 1.704(b).

Status

1) ☒ Responsive to communication(s) filed on _09 July 2001_.
2a) ☐ This action is **FINAL.**   2b) ☒ This action is non-final.
3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is
    closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

4) ☒ Claim(s) _1-21_ is/are pending in the application.
    4a) Of the above claim(s) _____ is/are withdrawn from consideration.
5) ☐ Claim(s) _____ is/are allowed.
6) ☒ Claim(s) _1-21_ is/are rejected.
7) ☐ Claim(s) _____ is/are objected to.
8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

9) ☐ The specification is objected to by the Examiner.
10) ☒ The drawing(s) filed on _09 July 2001_ is/are: a) ☒ accepted or b) ☐ objected to by the Examiner.
    Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
    Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
    a) ☐ All   b) ☐ Some * c) ☐ None of:
    1. ☐ Certified copies of the priority documents have been received.
    2. ☐ Certified copies of the priority documents have been received in Application No. _____.
    3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage
        application from the International Bureau (PCT Rule 17.2(a)).
    * See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

1) ☒ Notice of References Cited (PTO-892)
2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
3) ☐ Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)
    Paper No(s)/Mail Date _____.
4) ☐ Interview Summary (PTO-413)
    Paper No(s)/Mail Date. _____ .
5) ☐ Notice of Informal Patent Application (PTO-152)
6) ☐ Other: _____ .

DETAILED ACTION

This office action is responsive to communication filed on 07/09/2001.

This application claims Priority from Provisional Application No. 60217882

Claim Objections

1.   Claims 2, and 3 are objected to for minor informalities:

Claim 2 is objected to because it depends on a claim that is rejected as being

indefinite. Appropriate correction is required.

Claim 3 is objected to because it depends on a claim that is rejected as being

indefinite. Appropriate correction is required.

Claim Rejections - 35 USC § 112

2.   The following is a quotation of the second paragraph of 35 U.S.C. 112:

> The specification shall conclude with one or more claims particularly pointing out and distinctly
> claiming the subject matter which the applicant regards as his invention.

Claim 1 is rejected under 35 U.S.C. 112, second paragraph, as being indefinite

for failing to particularly point out and distinctly claim the subject matter which applicant

regards as the invention.

Claim 1 recites the phrase "*the ASP*" in line 8. There is insufficient antecedent

basis for this limitation in the claim.

Claim 1, recites the phrase " *the DHTML ASP*" in line 11. There is no antecedent

basis for this limitation in the claim.

Claim Rejections - 35 USC § 102

3.   The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that

form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(e) the invention was described in (1) an application for patent, published under section 122(b), by
another filed in the United States before the invention by the applicant for patent or (2) a patent
granted on an application for patent by another filed in the United States before the invention by the
applicant for patent, except that an international application filed under the treaty defined in section
351(a) shall have the effects for purposes of this subsection of an application filed in the United States
only if the international application designated the United States and was published under Article 21(2)
of such treaty in the English language.

4.   Claims 1-21 are rejected under 35 U.S.C. 102(e) as being unpatentable by

Bowman-Amuah (U.S. 6,571,282 B1).

Regarding claim 1: Bowman-Amuah (*column 107, lines 9-19; column 65, lines*

5-10) teaches a web browser intranet based TCP/IP network for servicing various

clients at remote sites comprising:

at least one remote client computer having a web browser application (*column*

61, lines 15-19; column 107, lines 9-19) for viewing data from and inputting data into an

ASP function (*column 107, lines 15-28*); and

a centralized web server farm (*fig. 98*) communicably linked over a TCP/IP

network to said client computer and operable to provide and service the ASP (*fig. 1020,*

item 2820, column 107, lines 15-28), and said web server farm operable to access

through DLLs (*column 71, lines 14-16*) over the TCP/IP network central data servers

(*column 25, lines 44-49*) and existing mainframe Financial Institution Legacy Systems

(*fig. 153, item 15304*) for servicing client requests through the DHTML ASP (*column 40,*

lines 43—51; note that the DHTML ASP here allows Web page objects to be

manipulated after they have been loaded into a browser).

Regarding claim 2: Bowman-Amuah teaches the web browser intranet based

TCP/IP network as recited in claim 1 where said centralized web server farm is

communicably linked to the Mainframe Legacy Systems through a Mainframe

Director/Listener *(column 259, lines 23-33)* adapted translate communications and

generate command strings between the TCP/IP network and the existing Mainframe

Legacy Systems *(column 25, lines 44-49; column 33, lines 3-4; Bowman-Amuah*

discloses a "mainframe legacy systems acting as servers in a client server

architecture").

Regarding claim 3: Bowman-Amuah teaches the web browser intranet; based

TCP/IP network as recited in claim 1 said DLLs *(column 71, lines 14-16)* comprising a

Business component DLL having a DB module *(fig. 161, items 16100-16102)* for

communicating to the central data servers and a communication DLL for communicating

with the Mainframe Legacy Systems *(columns 235-236)*.

Regarding claim 4: Bowman-Amuah teaches a method for networking at least

one client computer using a web browser intranet based TCP/IP network comprising the

steps of:

requesting service for a customer product from a remote client computer having

a web browser application communicably linked to an ASP function residing on a

centralized web server farm *(column 107, lines 9-32)*;

inputting data to the ASP function (*column 107, lines 15-25; Bowman-Amuah
discloses a server side ASP scripting that enables programs or commands to be
executed on the server machine providing access to resources*); and

servicing the request using DHTML from the ASP where the web server farm is
communicably linked to said client computer and where said server farm accesses
through DLLs (*column 71, lines 14-16*) over a TCP/IP network central data servers and
existing mainframe Financial Institution Legacy Systems (*fig. 153, items 15300-15304;
column 270, lines 47-64*).

Regarding claim 5: Bowman-Amuah teaches the method for networking at
least one client computer using a web browser as recited in claim 4 where servicing is
where the mainframe is accessed through a mainframe director/listener (*column 259,
lines 23-33*) adapted to translate communications and generate command strings
between the TCP/IP network and the existing Mainframe Legacy Systems (*column 25,
lines 44-49; column 33, lines 3-4; Bowman-Amuah discloses a "mainframe legacy
systems acting as servers in a client server architecture"*).

Regarding claim 6: Bowman-Amuah teaches the method for networking as
recited in claim 4 where servicing is where the mainframe is accessed through DLLs
(*column 71, lines 14-16*) comprising a Business component DLL having a DB module
(*fig. 161, items 16100-16102*) for communicating to the central data servers and a
communication DLL for communicating with the Mainframe Legacy Systems (*columns
235-236*).

Regarding claim 7: Bowman-Amuah (*fig. 98, client, server*) teaches an

electronically programmable and computer readable medium having executable

instructions for servicing web browser based client requests performing steps

comprising:

inputting from a client computer having a web browser application requests for

forms to the ASP function (*column 36, lines 4-8; column 107, lines 15-25*) over a TCP/IP

network (*column 65, lines 5-10*);

outputting back to client computer requested forms as DHTML documents over

the TCP/IP network (*column 40, lines 46-51*);

inputting data entered into forms at the client computer to the ASP *(column 36,*

lines 4-8);

calling necessary Business component with the ASP (*column 36, lines 4-8;*

column 107, lines 15-25);

initiating with the Business component service through a communication

component (*fig. 45, items 4502-4510; column 156, lines 3-8*);

outputting requests through communication component over the TCP/IP network

to an appropriate centralized data server and to an existing Financial Institution

Mainframe Legacy System (*column 25, lines 44-49; fig. 45*).

Regarding claim 8: Bowman-Amuah () teaches the electronically

programmable and computer readable medium as recited in claim 7 where initiating

service through a communication component is initiating service through a DB module

(*fig. 161, items 16100-16102*) for outputting requests to the centralized data server and

through a communication DLL (*column 71, lines 14-16*) for outputting requests to the

existing Mainframe Legacy System (*column 25, lines 44-49*).

Regarding claim 9: Bowman-Amuah teaches the electronically programmable

and computer readable medium as recited in claim 8 where the communication DLL

(*column 71, lines 14-16; column 99, lines 13-14*) outputting of requests is outputting to

the mainframe listener/director (*column 259, lines 23-33*) of the Mainframe Legacy

System.

Regarding claim 10: Bowman-Amuah teaches a centralized server farm having

an ASP function residing thereon for servicing a client computer in a web browser

based TCP/IP network comprising:

an ASP function residing on a centralized server farm (*column 107, lines 15-28*);

said ASP function operable to input requests for forms (*column 36, lines 4-8*)

from a client computer over a TCP/IP network and output requested forms as DHTML

documents over the TCP/IP network to a web browser interface of the client computer

(*column 40, lines 43-46*); and

said ASP function further operable to input data in the form of inputs to the

DHTML document from the client computer (*fig. 129*) and said ASP function operable to

service the client computer responsive to the data inputs by being communicably

linkable over the TCP/IP network to Data Servers (*column 93, lines 4-8*) and to an

existing Mainframe Legacy System through a Business component DLL (*column 25,*

lines 44-49; fig. 45).

Regarding claim 11: Bowman-Amuah teaches the centralized server farm
having an ASP function residing thereon for servicing a client computer as recited in
claim 10, where said ASP function is communicable linkable to the Data Servers
through the Business component DLL (*column 276, lines 50-54; note that "a data
handler could be on a data server component near the DB while the business logic is in
the application component"*) and further through a DB module and communicably
linkable to the Mainframe Legacy System through the Business component DLL and
further through the Communication component DLL.

Regarding claim 12: Bowman-Amuah teaches the centralized server farm
having an ASP function residing thereon for servicing a client computer as recited in
claim 11, where the ASP function is communicably linkable to the Mainframe
Listener/Director interface of the Mainframe Legacy System (*column 259, lines 23-33;
note that Bowman-Amuah discloses that servers are usually implemented on Unix, NT
or mainframe machines in lines 4 of column 33*).

Regarding claim 13: Bowman-Amuah teaches in a client computer system
having a web browser application and having a graphical user interface including a
display and a user interface, a method of providing an ASP generated DHTML
document for servicing client requests comprising the steps of:

presenting on a graphical user interface a first DHTML document screen using a
browser application for prompting a user request. *Bowman-Amuah discloses a DHTM
that allows web pages object to be manipulated in the browser (column 1, lines 50-56)*

whereas the GUI allows the user to retrieve those pages from the WWW using a simple point and click commands (column 40, lines 43-47);

inputting through a user interface using the browser application a request in the form of data inputs to the DHTML document and transmitting the request through the browser application over a TCP/IP network (*column 40, lines 43-47*) to an ASP function on a centralized server farm which is communicably linked to centralized data servers (*column 301, lines 54-57; column 299, lines 17-20; fig. 187, items 18700-18700; note the presence of the request unbacher on the server to unpackage the bundled network messages*) and an existing financial institution Mainframe Legacy System for servicing user requests (*column 25, lines 44-49*); and

servicing through the ASP the user request (*column 107, lines 15-28*) by acquiring information from the centralized data servers (*column 93, lines 4-8*) and the mainframe and by presenting a second DHTML document screen on the graphical user interface containing the information acquired (*column 40, lines 43-51*).

Regarding claim 14: Bowman-Amuah teaches the method as recited in claim 13, where presenting a first DHTML document is presenting a DHTML document having field level validation script (*column 249, lines 51-65; fig. 129, item 12900*).

Regarding claim 15: Bowman-Amuah teaches the method as recited in claim 13, where presenting a first DHTML document is presenting a DHTML document having customer product information included as a field of data (*fig. 76, item 7600; column 213, lines 48-67, column 214, lines 1-3*).

Regarding claim 16: Bowman-Amuah teaches a method of communicating

between a client computer having a web browser application and a Mainframe Legacy

System comprising the steps of:

inputting service request from a client computer over a TCP/IP network to a

centralized server farm (*column 222, lines 1-18; fig. 86, item 8600-8604; it is important

to note that the client instantiates a customer interface proxy with the server and the

proxy in turn makes a request of the Naming Service*)

outputting the requests from the server farm to centralized data servers (*column

93, lines 4-8*) and an existing financial institution Mainframe Legacy System (*column

25, lines 44-49*) and initiating the appropriate functions on the data servers and the

mainframe for servicing the requests (*fig. 91, steps 5-16*);

inputting to the server farm information responsive to the request from the data

servers and the Mainframe Legacy Systems (*column 25, lines 44-49; fig. 98, client read

pages*); and

outputting from the server farm DHTML documents to the client computer

responsive to the service requests (*fig. 98, client read pages*).

Regarding claim 17: Bowman-Amuah teaches the method of communicating

between a client computer and a mainframe as recited in claim 16, where outputting the

requests from the server farm is outputting through the Business component DLL and

through a DB module to the centralized Data Server and through the Business

component DLL and through the Communication component DLL to the mainframe

(*column 235-236*).

Regarding claim 18: Bowman-Amuah teaches the method of communicating as recited in claim 17 where communication to the mainframe is communication to the Mainframe Listener/Director (*column 259, lines 23-33*).

Regarding claim 19: Bowman-Amuah (*column 107, lines 9-19; column 59, lines 12-14*) teaches a method for networking one or more client computers to an existing financial institution Mainframe Legacy System using a web browser intranet based TCP/IP network comprising the steps of:

sending a request from a communication component DLL residing on a centralized server farm over a TCP/IP network to a communication interface of an existing financial institution Mainframe Legacy System responsive to a request from a client computer (*fig. 95, items 9502-9510*);

receiving a response from the communication interface of the Mainframe Legacy System to the communication component residing on the centralized server farm (*fig. 95, items 9502-9510*); and

forwarding the response as a DHTML document to the client computer (*fig. 98, items 9802*).

Regarding claim 20: Bowman-Amuah (*fig. 98, item 9802; column 107, lines 15-25*) teaches the method as recited in claim 19, where forwarding the response is forwarding through an ASP function operable to generate a DHTML document.

Regarding claim 21: Bowman-Amuah (fig. 98, item 9802; *column 107, lines 15-25*) teaches the method as recited in claim 19, where the communication interface of the Mainframe is a Listener/Director interface (*column 259, lines 23-33*) operable to

translate communications between the network and the mainframe and generate

command strings (*column 209, lines 1-8*).

Conclusion

6.   Any inquiry concerning this communication or earlier communications from

examiner should be directed to Jude Jean-Gilles whose telephone number is (703) 305-

0269. The examiner can normally be reached on Monday-Thursday and every other

Friday from 8:00 AM to 5:30 PM.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's

supervisor, David Wiley, can be reached on (703) 308-5221. The fax phone number for

the organization where this application or proceeding is assigned is (703) 305-3719.

Any inquiry of a general nature or relating to the status of this application or

proceeding should be directed to the receptionist whose telephone number is (703) 305-

3900.

Jude Jean-Gilles

Patent Examiner

Art Unit 2143

JJG

October 05, 2004